

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

DELIVERY OF THERAPEUTIC GENE PRODUCTS BY INTESTINAL CELL EXPRESSION  
the specification of which (check only one item below):

☐ is attached hereto.

☒ was filed as United States application

Serial No. 09/254,988

on March 16, 1999 (International Filing Date September 18, 1997)

and was amended

on \_\_\_\_\_ (if applicable).

☐ was filed as PCT international application

Number \_\_\_\_\_

on \_\_\_\_\_

and was amended under PCT Article 19

on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (if PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119	
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:**

U.S. APPLICATIONS		STATUS (Check one)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT/US97/16523	September 18, 1997		X	
08/717,084	September 19, 1996		X	

Send Correspondence to:  
Carol L. Francis  
BOZICEVIC, FIELD & FRANCIS LLP  
285 Hamilton Avenue, Suite 200  
Palo Alto, California 94301  
Telephone: (650) 327-3400  
Facsimile: (650) 327-3231

Direct Telephone Calls to:  
(name and telephone number)

Name:  
Registration No.  
Telephone: (650) 327-3400

201	FULL NAME OF INVENTOR	German	Michael	
	RESIDENCE & CITIZENSHIP	San Francisco	California	United States of America
	POST OFFICE ADDRESS	1543 33rd Avenue	San Francisco	California 94122
202	FULL NAME OF INVENTOR	Goldfine	Ira	D.
	RESIDENCE & CITIZENSHIP	Kentfield	California	United States of America
	POST OFFICE ADDRESS	640 Goodhill Road	Kentfield	California 94909
203	FULL NAME OF INVENTOR	Rothman	Stephen	S.
	RESIDENCE & CITIZENSHIP	Berkeley	California	United States of America
	POST OFFICE ADDRESS	98 Acacia Avenue	Berkeley	California 94709

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201	SIGNATURE OF INVENTOR 202	SIGNATURE OF INVENTOR 203
DATE 12/13/99	DATE	DATE 12/9/99

M:\FORMS\COMDECWP 5/98

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

DELIVERY OF THERAPEUTIC GENE PRODUCTS BY INTESTINAL CELL EXPRESSION  
the specification of which (check only one item below):

☐ is attached hereto.

☒ was filed as United States application

Serial No. 09/254,988

on March 16, 1999 (International Filing Date September 18, 1997)

and was amended

on \_\_\_\_\_ (if applicable).

☐ was filed as PCT international application

Number \_\_\_\_\_

on \_\_\_\_\_

and was amended under PCT Article 19

on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (if PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119	
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO

Combined Declaration For PCT Application (Continued)  
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER  
9076/048CIP

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT  
UNDER 35 U.S.C. 120:

U.S. APPLICATIONS		STATUS (Check one)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT/US97/16523	September 18, 1997		X	
08/717,084	September 19, 1996		X	

Send Correspondence to:  
Carol L. Francis  
BOZICEVIC, FIELD & FRANCIS LLP  
285 Hamilton Avenue, Suite 200  
Palo Alto, California 94301  
Telephone: (650) 327-3400  
Facsimile: (650) 327-3231

Direct Telephone Calls to:  
(name and telephone number)

Name:  
Registration No.  
Telephone: (650) 327-3400

201	FULL NAME OF INVENTOR	German	Michael	
	RESIDENCE & CITIZENSHIP	San Francisco	California	United States of America
	POST OFFICE ADDRESS	1543 33rd Avenue	San Francisco	California 94122
202	FULL NAME OF INVENTOR	Goldfine	Ira	D.
	RESIDENCE & CITIZENSHIP	Kentfield	California	United States of America
	POST OFFICE ADDRESS	640 Goodhill Road	Kentfield	California 94909
203	FULL NAME OF INVENTOR	Rothman	Stephen	S.
	RESIDENCE & CITIZENSHIP	Berkeley	California	United States of America
	POST OFFICE ADDRESS	98 Acacia Avenue	Berkeley	California 94709

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201



DATE

12/13/99

SIGNATURE OF INVENTOR 202



DATE

SIGNATURE OF INVENTOR 203



DATE

12/9/99

M:\FORMS\COMDECWP 5/96

**POWER OF ATTORNEY  
BY ASSIGNEE**

Attorney Docket	0. 048CIP
First Named Inventor	Michael German et al.
Application Number	09/254,988
International Filing Date	September 18, 1997
Examiner Name (Group Art Unit)	5611
Title: DELIVERY OF THERAPEUTIC GENE PRODUCTS BY INTESTINAL CELL EXPRESSION	

The Regents of the University of California, assignee of the above-identified application by assignment, hereby appoint:

**BOZICEVIC, FIELD & FRANCIS LLP**

Name	Registration No.	Name	Registration No.
Karl Bozicevic	28,807	Pamela J. Sherwood	36,677
Bret E. Field	37,620	Dianna L. DeVore	42,484
Carol L. Francis	36,513	Paula A. Borden	42,344
Renee A. Fitts	35,136		

as its attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

**DIRECT ALL CORRESPONDENCE TO:**

Individual Name	Carol L. Francis		
Firm Name	BOZICEVIC, FIELD & FRANCIS LLP		
Address	285 Hamilton Avenue, Suite 200		
City, State, Zip	Palo Alto, California 94301		
Country	U.S.A.		
Telephone	(650) 327-3400	Facsimile	(650) 327-3231

**SIGNATURE of Assignee of Record**

In accordance with 37 CFR §3.73(b) I hereby certify that I am empowered to act on behalf of the Assignee of the above-identified patent application. The original Assignment is concurrently being forwarded to the Assignment Branch of the U.S. Patent Office for recordation.

I declare that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code §1001 and that such willful false statements may jeopardize the validity of the above referenced application or any patent resulting from that application.

Name and Company	The Regents of the University of California		
Title	Julie Sarracino Business Manager		
Signature	<i>Julie Sarracino</i>	Date	6/10/99

# ASSIGNMENT OF APPLICATION

Address to:

Box Assignment

Assistant Commissioner for Patents

Washington, D.C. 20231

Attorney Docket

09076/048CIP

First Named Inventor

Michael German et al.

Application Number

09/254,988

Filing Date

March 16, 1999

Title

Systemic Gene . . . Transformation

Group Art Unit

5611

Examiner Name

To Be Assigned

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Michael German

2. Ira D. Goldfine

3. Stephen S. Rothman

hereby sell, assign and transfer to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, California 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

SYSTEMIC GENE THERAPY BY INTESTINAL CELL TRANSFORMATION

and which is found in

U.S. Application Serial No. 09/254,988, filed on March 16, 1999

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC III (a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant that no assignment sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant that ASSIGNEE will, upon its request be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.


executed this

Signature of Inventor(s)

\_\_\_\_ day of \_\_\_\_\_, 1999

Michael German

11 day of June, 1999

  
Ira D. Goldfine

\_\_\_\_ day of \_\_\_\_\_, 1999

Stephen S. Rothman

## ASSIGNMENT OF APPLICATION

Address to:  
Box Assignment  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Attorney Docket	09076/048CIP
First Named Inventor	Michael German et al.
Application Number	09/254,988
Filing Date	March 16, 1999
Title	Systemic Gene . . . Transformation
Group Art Unit	5611
Examiner Name	To Be Assigned

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Michael German
2. Ira D. Goldfine
3. Stephen S. Rothman

hereby sell, assign and transfer to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, California 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

### SYSTEMIC GENE THERAPY BY INTESTINAL CELL TRANSFORMATION

and which is found in

(a) U.S. Application Serial No. 09/254,988, filed on March 16, 1999

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC III (a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant that no assignment sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant that ASSIGNEE will, upon its request be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.



AND the ASSIGNOR(S) request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

\_\_\_\_ day of \_\_\_\_\_, 1999

\_\_\_\_\_  
Michael German

\_\_\_\_ day of \_\_\_\_\_, 1999

\_\_\_\_\_  
Ira D. Goldfine

9 day of June, 1999

\_\_\_\_\_  
Stephen S. Rothman